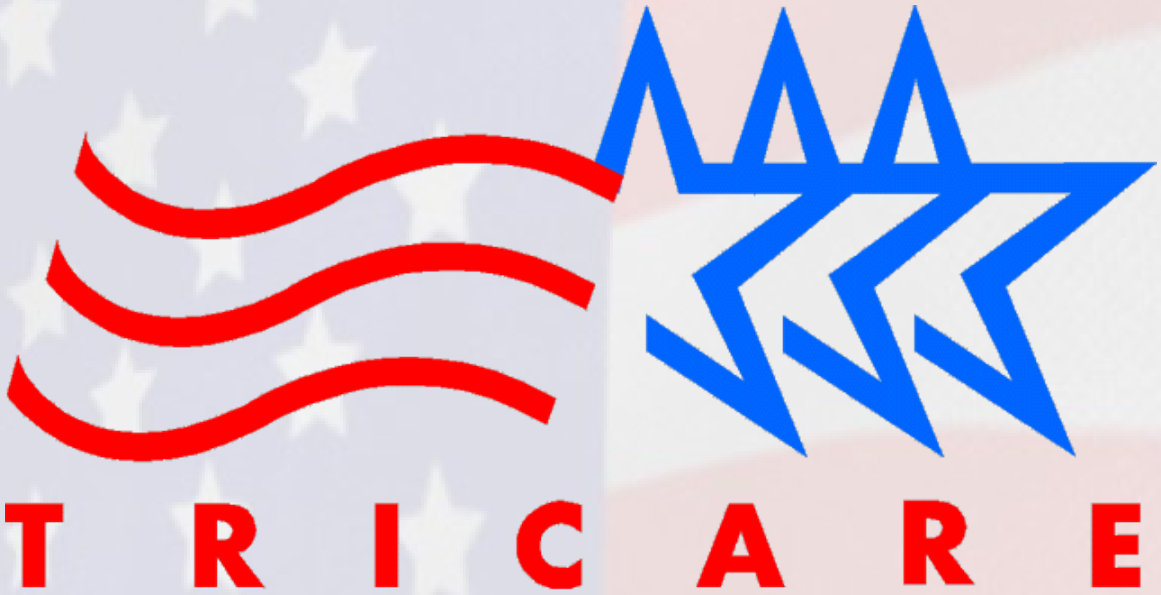


2000

“Focus on Performance”

Data Quality - Above the Benchmark

MHS Management Control Program
Who's Managing Whom?
TRICARE Conference
1 February 2000

COL Susan McMarlin (TMA)

Mr. Ed Chan (OASD Health Affairs)

Mr. Carmine Mendicino (OTSG)

MHS DQ Management Controls: Problem: Who's Managing?

- **Implementation of TRICARE contracts, corporate data bases, & demonstration evaluations increased awareness we have data quality problems.**
- **A catalyst for action was the finding of a material weakness by the DoDIG for our lack of management controls for data reporting procedures.**
- **Types of quality Issues:**
  - **Missing and incomplete documentation in medical records**
  - **Multiple Appointment Types among Facilities**
  - **Discrepancies (wide-spread differences in approaches to submitting SIDRs, SADRs, MEPRS, telephone consultations, and medical record coding……)**

MHS DQ Management Controls: Background

- **TRICARE Managed Care Support Contracts, evaluation of Demonstration and Optimization Projects, claims processing, and Third Party Payments all depend on accurate/reliable financial and workload data.**

- **MHS must improve uniformity and standardization of data reporting through improved business processes, management controls, and oversight to ensure completeness, accuracy and timeliness of data.**

- **Audits by the DoDIG and the GAO regarding the DoD Military Retirement Health Benefits Liability Estimate and the Medicare Subvention Demonstration questioned reliability of the MHS data.**

MHS DQ Management Controls

Who's Managing?

- **DoD Inspector General Report "Data Supporting the FY98 Retirement Health Benefits Liability Estimate"**
  - ***The quality of the CHCS outpatient visit data was unreliable for use in developing the military retirement health benefits liability estimate.***
  - ***MHS had not provided guidance for developing and implementing a CHCS outpatient visit quality assurance program.***
  - ***Identified a material management control weakness as defined by DoD Directive 5010.38.***

MHS DQ Management Controls Who's Managing?

- **GAO Medicare Subvention Demonstration Report: "DoD Data Limitations May Require Adjustments and Raise Broader Concerns"**
  - **Level of Effort may be understated because of inaccuracies in its source data (MEPRS).**
    - ***lack of consistent command emphasis/oversight***
    - ***paucity of business rules, standardized training and procedural guidelines***
  - **Recommended SECDEF direct the ASD (Health Affairs) to improve cost and workload data quality.**

MHS DQ Management Controls Getting Started

- **ASD(HA) concurred with findings about a material management control weakness in regard to the system's outpatient data.**
- **DHP Resource Management Steering Committee designated by ASD(HA) to oversee the development of an MHS DQ management control program.**
- **TMA Executive Director directed formation of a DQ Integrated Process Team (IPT) with members from HA, TMA, and the Services. Focus is to improve the quality of enrollment, financial and clinical workload data.**

MHS DQ Management Controls Who's Responsible?

- **The DQ MC program is a major initiative under the Data Quality IPT.**
- **Its development involved multiple working groups to include system representatives from ADS, CHCS, MEPRS and Service members from the DQ IPT (AFMOA, PASBA, NNMIC, and BUMED).**
- **Oversight bodies monitoring its development are the DoD Comptroller, DoDIG, and GAO.**
- **Program will be staffed among the Services with input from the field prior to its full implementation.**

MHS DQ Management Control Others who are Responsible

- **People make Management Controls work!**
- **Leadership Support Required at all levels of the MHS**
  - **Data Quality IPT and Service representatives**
  - **Commanders from Medical Treatment Facilities**
  - **Service Headquarters**
  - **DHP Resource Managers**
  - **Executive Director, TMA**
  - **Surgeons General**
  - **Assistant Secretary Health Affairs**

Control Management Program The Basics

- **All Department of Defense organizations are required by law to develop controls to assure programs are doing what they say they they should be doing.**

- **Annual statements of assurance required under the Federal Managers' Financial Integrity Act of 1982**

- **Management control programs don't guarantee desired outcomes, but provides the structure for the process.**

Resources/References

Federal Managers Financial Integrity Act

OMB Circular A-123 Revised 21 June 199

DOD Directive 5010.38 dated 26 August

DOD Instruction 5010.40 dated 28 Augus

Definition

The organization, policies and procedures used to **reasonably** ensure that:

- programs achieve intended results.
- resources are used consistently.
- fraud, waste, and mismanagement are minimized.
- laws and regulations are followed.
- **reliable and timely information is available and USED for decision making.**

Management Control Program

It is a tool to help health care providers:

- Manage Risks
- Achieve Results

It is not a guarantee to:

Assure Program/Activity Success
Eliminate Fraud, Waste, and Mismanagemen

Basic Tenets

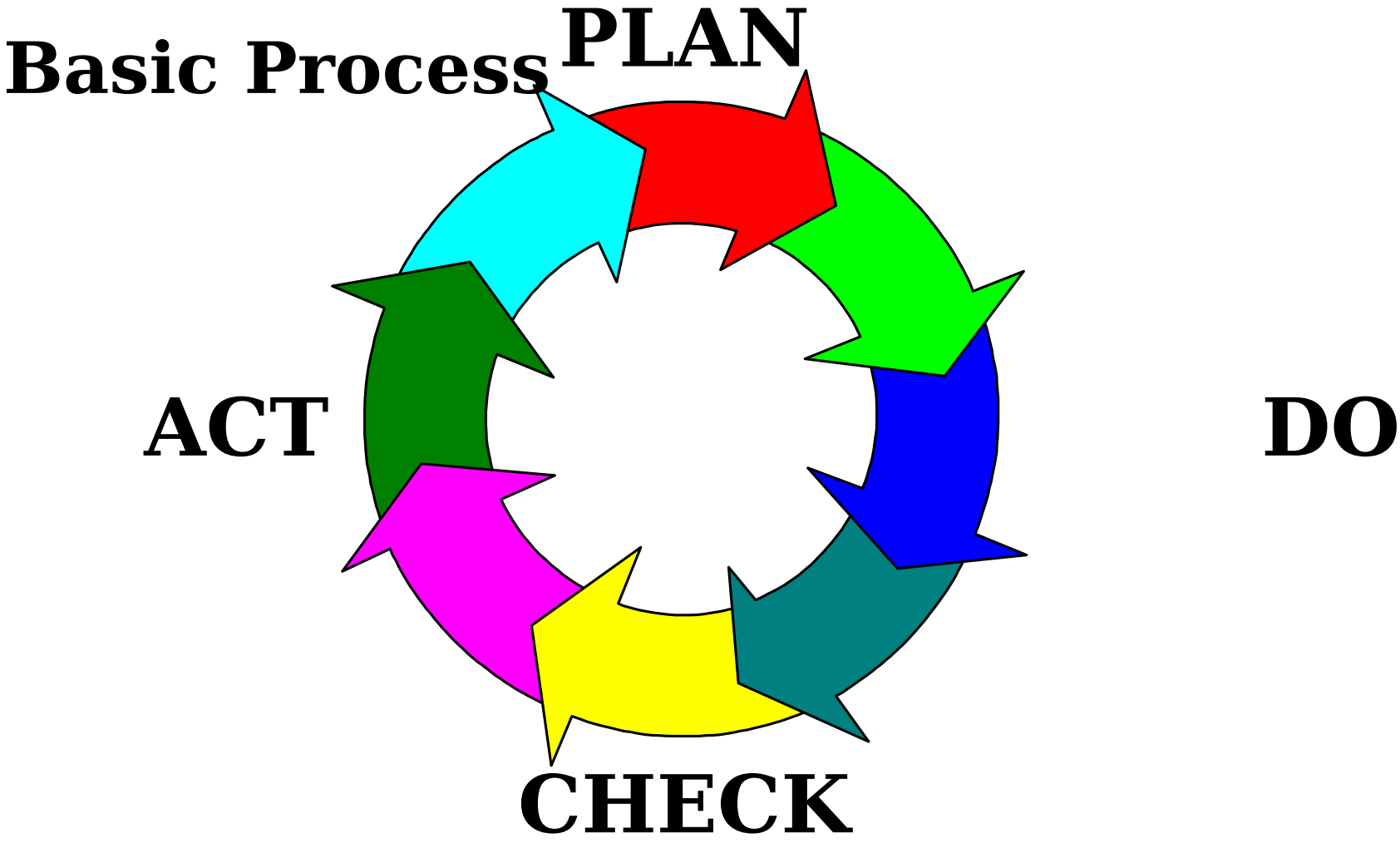
- Development and implementation of appropriate, **cost-effective** controls for results-oriented manag

- Periodic evaluation of the adequacy of controls.

- Continual identification of needed improvements and initiates corrective action.

- Provides management control feedback informati

Management Control Program



Management Control Program

Detailed Process

Plan

- Flow Chart the Program
- Identify Critical Areas (risk assessment)
- Identify Current Existing Controls
- Develop Additional Controls

Do

- Train Personnel on the Program's Opera
- Implement Necessary Controls

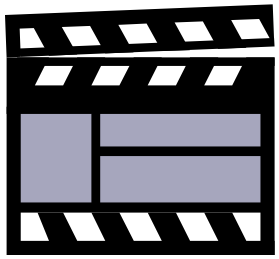
Management Control Program

Detailed Process Continued

Check

- Evaluate the Controls
- Document Evaluation Results
- Report on Internal Controls Operation
- Recommend Improvements

Act



- Implement Improvements
- Follow-up on Improvements

The Bottom Line!

Its not simply about checklists and monthly/ann
statements.

It is all about developing a culture that actively
achieve program goals and views managemen
as one important tool to help accomplish that

Executive Director Says Data Quality is Top Priority

- **Support from Leaders at all Levels**
- **Identify/Fund Changes required for MHS Source Data Collection and Management Information Systems**
- **Identify Requirements and Develop Business Rules**
- **Incorporate Content into School house Curricula and Executive Skill Education and Training Program**
- **Provide Training/Incentives at the Grass Root Level**
- **On Line and Web Site User Education and Support**
- **Certification Data Are Accurate**
- **Make Products Customer Friendly**

DQ Management Control Program
Proposed Plan

- **MTF Commander appoints Data Quality Manager, who will work with members of a data quality assurance team. Among the members are RM, IM, and Patient Administration leaders.**

- **Data Quality Management Control (DQMC) List at MTF level is based on GAO checklist for assessing the reliability of computer-processed data. It also reinforces existing guidelines and regulations. The DQMC List is a tool maintained at the local level for the MTF to use in the development and assessment of their data quality management control program.**

DQ Management Control Program *DQMC List*

- **Will require effort of DQ Manager working with RM, IT/IM, and Patient Administration to complete.**
- **Involves MTF's Executive Staff through monthly briefings concerning the DQMC findings.**
- **Components on the DQMC List based on GAO checklist for use in auditing a Management Control Program for a System:**
  - **Organization Factors, Data Input, Data Processing, Data Output, Education and Training, Security, and System Design.**

DQ Management Control Program
Data Certification

- **Commander's Certification Statement--intended to involve senior leaders at the MTF level about the quality of their data**
- **Also, an approach to have leaders the responsibility for the quality of workload and clinical data reporting.**
- **Certification to be sent each month through the Service's Data Quality Manager to the Defense Health Program Resource Management Steering Committee.**

DQ Management Control Program
Components of *Certification Statement*

- ***Commander verifies responsibility for data quality and reports on metrics regarding the facility's:***
  - Completeness of Workload - especially outpatient Standard Ambulatory Data Records (SADR)
  - End-of-Day Processing;
  - Reconciliation of Financial and Workload
  - Completion Inpatient record (JCAHO standard)
  - Maintenance of outpatient medical records
  - Medical Records Coding

DQ Management Control Program

Higher Headquarters' Responsibilities

The comprehensive program is also dependent upon DQ Managers at the Service level who will work with local MTF DQ Managers to receive certification statements and provide consultation as required.

- **DHP RMSC receives reports from the Service DQ Managers and identifies data quality issues to the attention of the Surgeons General.**

- **At the TMA level, metrics will be monitored and posted on TOPS and the MHS Data Quality Home Page.**

DQ Management Control Program

Higher Headquarter' Responsibilities

- The MHS Data Quality Home Page provides critical links to the Services' data quality sites, other military and industry data quality resources, education and training, and information on other initiatives such as medical records.

- Monthly "Deliver the Promise" briefings to the Deputy Surgeons General will include data quality metrics.

- Data Quality Management Controls will also need to be developed for Central Systems

DQ Management Control Program
Status and Summary

- **Ready to test comprehensive program involving MTF through ASD(HA) level.**
- **Especially critical to program are the MTF DQ Managers and Commanders, Services DQ Managers, DHP RM Steering Committee, TMA, TEC, and ASD (HA).**
- **Internal review and other oversight bodies will be part of program's evaluation.**
- **Although the MC program applies to the entire MHS-- Expectations are for program to be part of Optimization Prototype in Region 11 within the next month and implemented throughout the MHS within FY00.**

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